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Ohio IR Day

Spring 2017 Meeting

Apr 5th, 11:30 AM - 11:40 AM

Initiative to Adopt an Open Access Publication Policy for Faculty

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INITIATIVE TO ADOPT AN OPEN ACCESS PUBLICATION POLICY FOR FACULTY

OHIO IR DAY

COLUMBUS, OH

(APRIL 5, 2017)

Jingping Zhang, University Librarian/Director of Libraries Operations

Larry Sheret, Instruction and Emerging Technologies Librarian

Marshall University



Background

- ▣ Formed an Ad Hoc Committee on IR in April 2011
 - Began to explore the benefits of open access institutional repositories (OA IR), as well as investigate what other institutions were doing to publish, promote, and provide access to their intellectual property
- ▣ Submitted Marshall University IR Proposal & Time Planning in June 2011
 - Two-Years Pilot Project
 - Budget
 - Staff
 - Identify strategic partners around campus (individual faculty, departments, colleges or schools, and administrative groups)
 - Identify various forms of material as content: existing content and new research content
 - Compare IRs and make recommendation for an IR system/software: Digital Commons
- ▣ Proposal approved in June 2011 for three years
- ▣ Purchase and implement an IR system: Digital Commons™ from Berkeley Electronic Press (bepress™) and SelectedWorks
- ▣ Name: Marshall Digital Scholar (MDS): new service offered by MU Libraries in Jan. 2012
- ▣ Ensuring Success (3years → permanent service)
 - Align the IR with the University's mission
 - Emphasize scholarship first, but also all the other institutional resources that can be made available



Marshall Digital Scholar (MDS)

<http://mds.marshall.edu/>

▣ **MDS in Brief**

- Digital showcase for the university's research, collections, and events and publishing platform
- Collect, manage, preserve and provide access to MU scholarly / creative output, special collections and the university archives.

▣ **Role of MDS (IR)**

- Support the university's teaching and research mission with consistent, organized open access to the world
- Manage open access to digital content produced by the university
- Offer long-term digital preservation



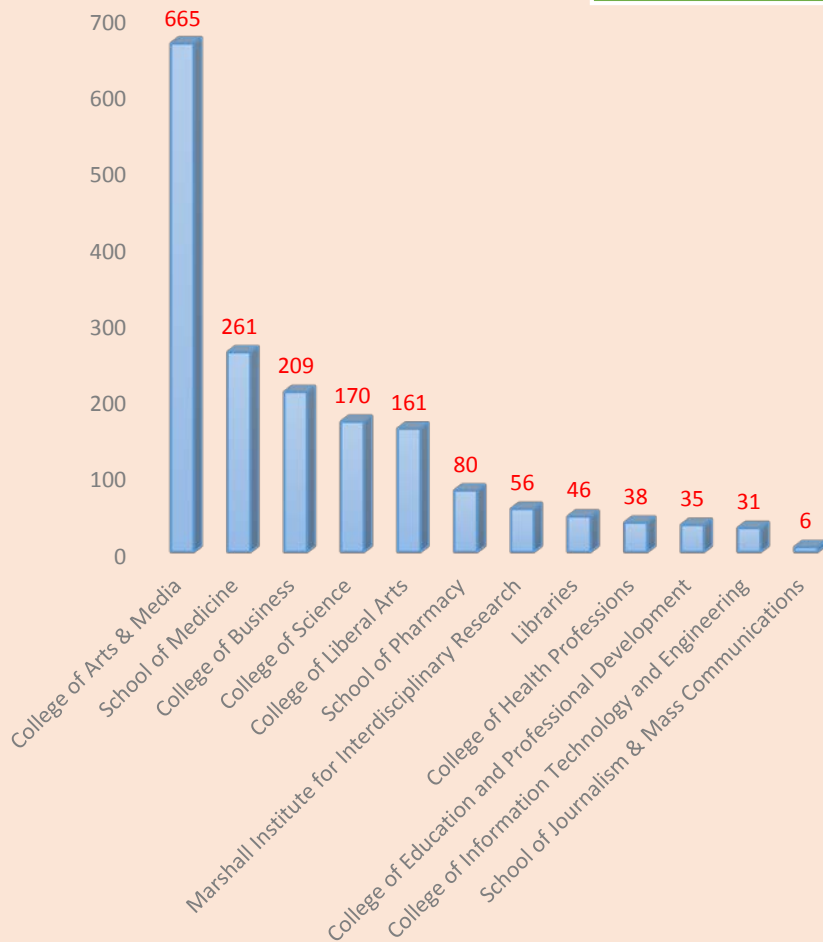
Faculty Research Output

Schools or Departments	Items	Downloads	Instituions	Coutries	Profiles	#1 DL	#2 DL
College of Arts & Media	665	19830	1063	119	22	1569	1251
College of Business	209	65882	4484	182	32	2960	2335
College of Education and Professional Development	35	14481	1483	136	19	9439	1502
College of Health Professions	38	3095	313	83	10	396	296
College of Information Technology and Engineering	31	1043	262	79	2	697	115
College of Liberal Arts	161	40801	2460	163	29	3529	2235
College of Science	170	21327	1209	122	19	1131	1009
Libraries	46	13463	608	103	17	1976	1869
Marshall Institute for Interdisciplinary Research	56	7264	573	116	3	1313	1151
School of Journalism & Mass Communications	6	385	53	26	3	229	92
School of Medicine	261	12729	761	106	106	742	611
School of Pharmacy	80	662	114	60	8	118	55

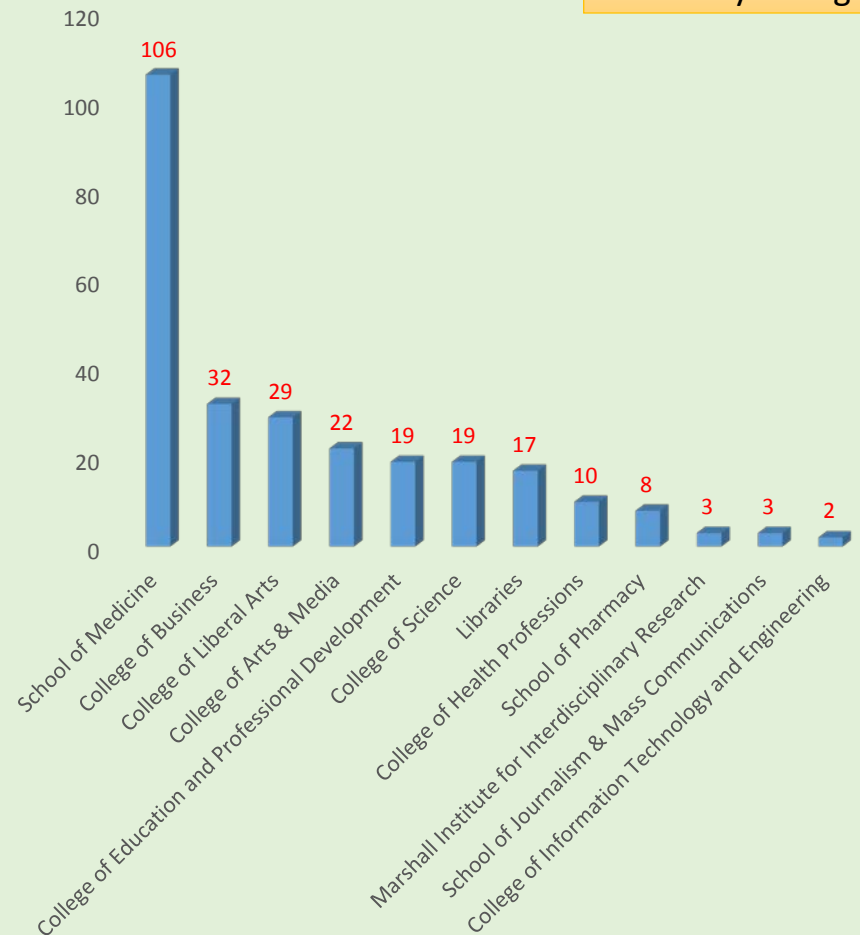


Faculty Research Output

Items by College



Profiles by College





Current Status

- Current: 8,785 items, including research articles and conference papers, 3 scholarly journals (2 more in the planning stages), special collections, archives, a system to manage conferences, provide access to conference papers, and ETDs. (Feb. 2017)
- MDS hit the 1,000,000th download from 218 countries on February 17, 2017.
- Of the 8,785 items in the repository, 1758 are research items published by our faculty. Marshall has 1021 full & part-time faculty members and 270 are currently participating in MDS by offering their research items to be uploaded to the repository. Roughly 25% of Marshall faculty members have profiles and research items in MDS.

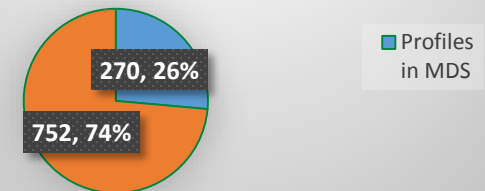


How to Get More Faculty Research Items or Publications into MDS

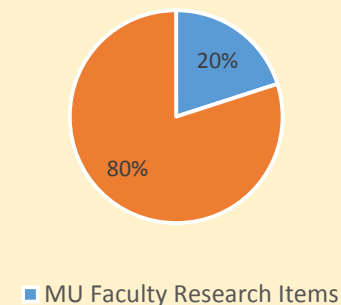
- ❑ Marketing: ongoing communication on campus is vital: take any opportunity to promote this service
- ❑ The MDS team can take a personal approach to talk with faculty groups, individual academic programs or schools
- ❑ Permission from authors
 - ✓ Presentation in colleges/Dept.
 - ✓ New faculty fair
 - ✓ Individual communication
 - ✓ MDS website online form: <http://mds.marshall.edu/>
- ❑ Issue: faculty participation rate is about 25%; research items is about 20%

Faculty Participation Rate

(Total MU faculty members: 1022)



Faculty Research Items: 1758
Total items: 8785

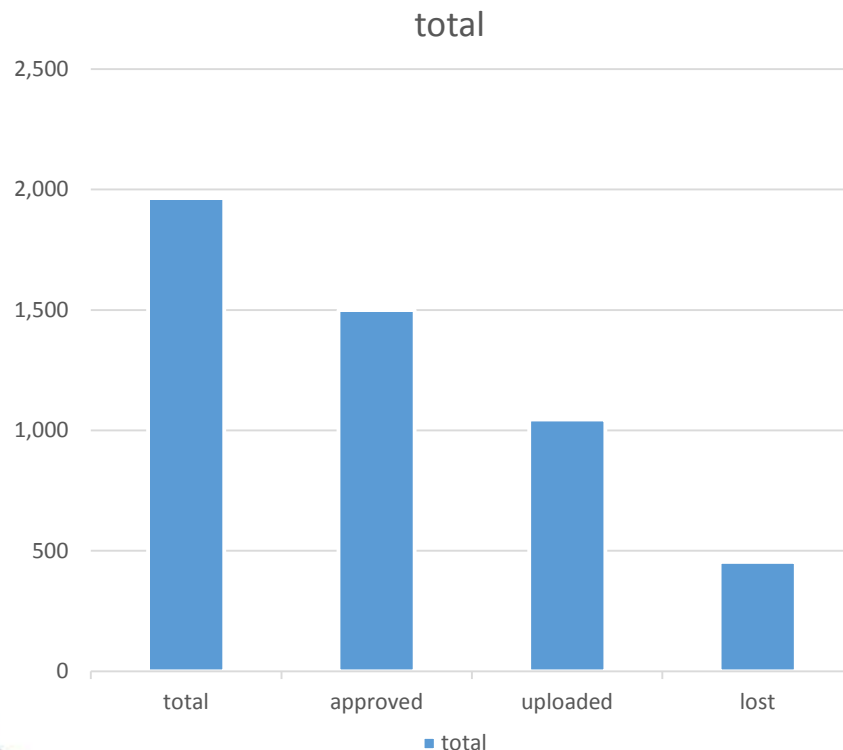




How to Get More Faculty Research Items or Publications into MDS

Copyright Clearance:

- ✓ Library provides copyright clearance services
- ✓ Issue: publishers approved 75% of our requests but we were only able to load 2/3rds of these to MDS because **authors had not retained their peer-reviewed manuscripts.**



Solution:

Adopt an Open Access Publication Policy

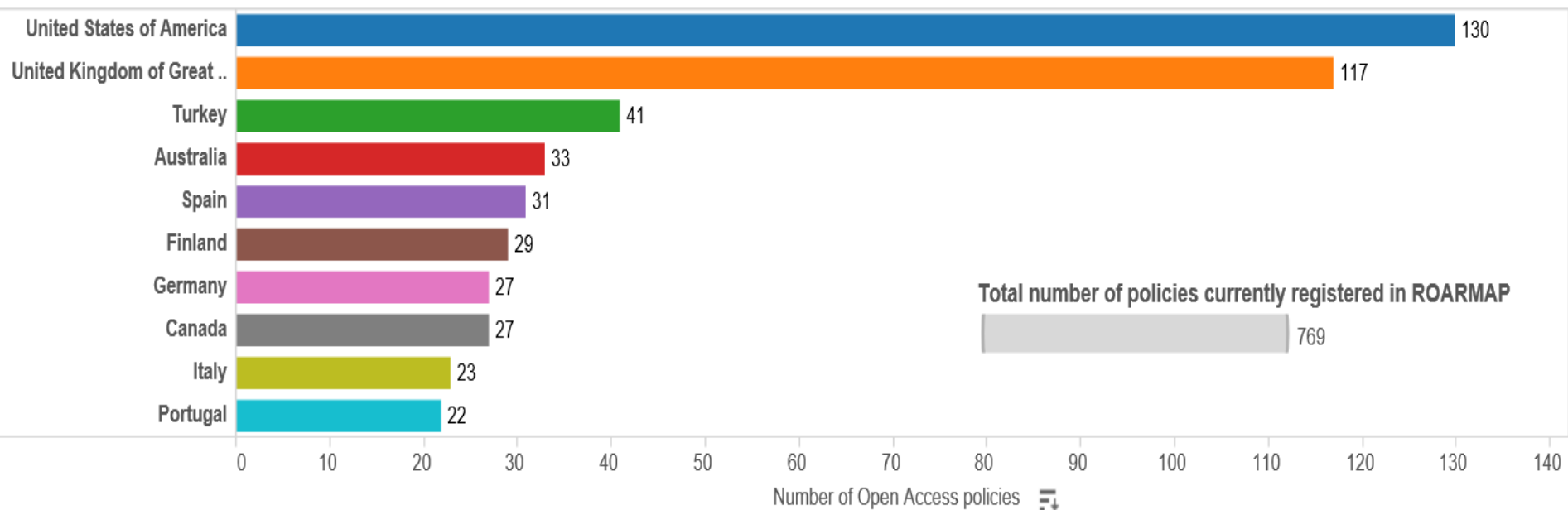
- ✓ Faculty participation rate: 25% → 100%
- ✓ The total items could be increased 3 to 4 times more
- ✓ 100% of publisher approvals will be uploaded into MDS



How Many Open Access Policies Are There Worldwide?

The number of Open Access policies available worldwide is continually increasing. ROARMAP provides:

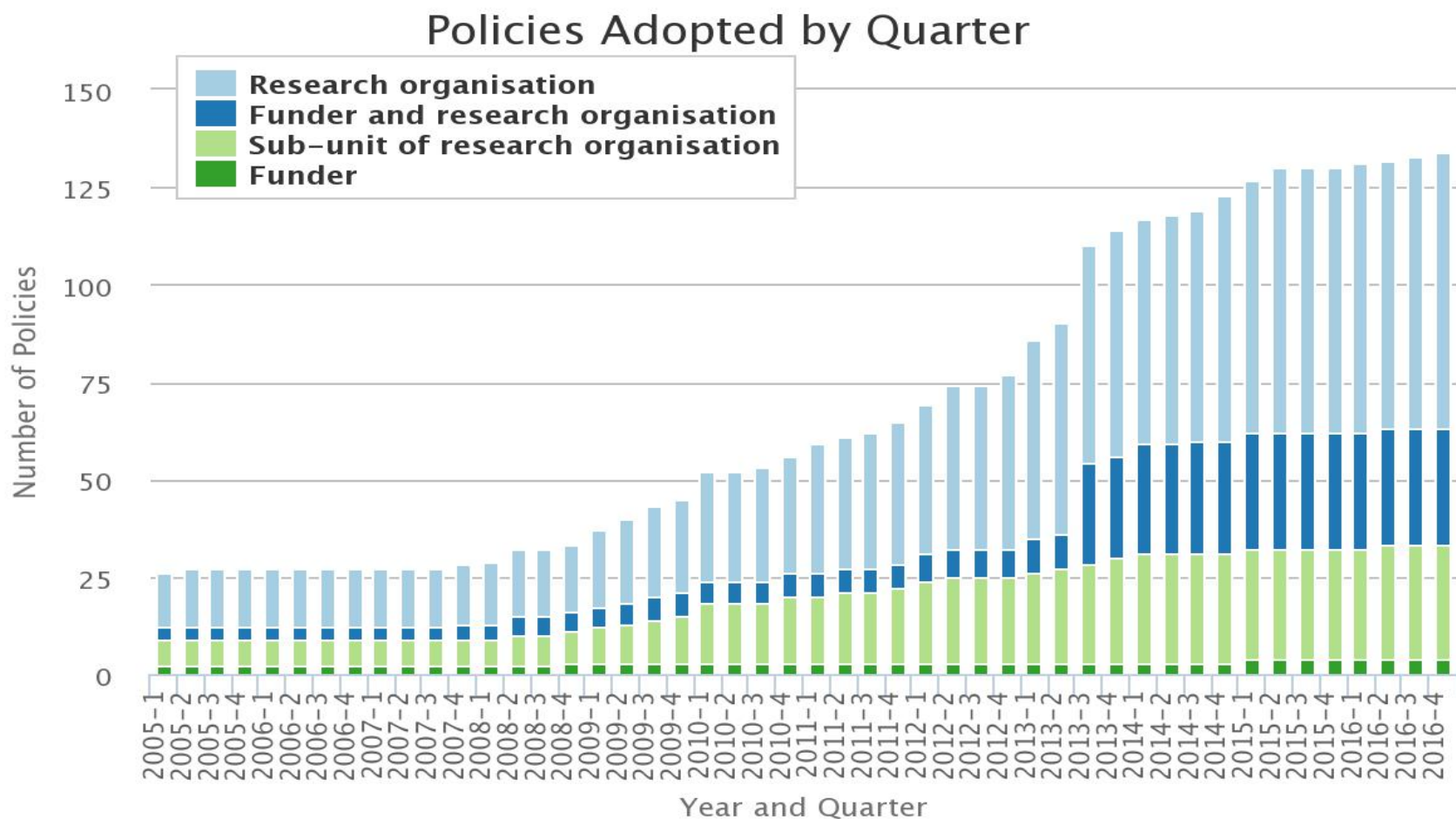
Open Access policies by country - Top Ten





Open Access Policies Adopted by Quarter from 2005 – 2016

As of February 21, 2017 there are 81 individual universities in the U.S. that have enacted OA policies or mandates to encourage participation by all faculty:





National Wide

In an effort to reduce the cost of scholarly publication, to make research more accessible worldwide and to build faculty participation in Open Access (OA) publication:

- ▣ The Harvard Faculty of Arts and Sciences voted for an open access-publishing mandate (Xia et al., 2012).
- ▣ MIT, University of California and others, joined with Harvard by mandating OA publication by their faculty. Faculty members were required to submit their final peer-reviewed submissions to the institutional repository.
- ▣ MIT faculty open access to their scholarly articles (March 20, 2009)
Under the new policy, faculty authors give MIT nonexclusive permission to disseminate their journal articles for open access through DSpace, an open-source software platform developed by the MIT Libraries and Hewlett Packard and launched in 2002. **The policy gives MIT and its faculty the right to use and share the articles for any purpose other than to make a profit.** Authors may opt out on a paper-by-paper basis.
- ▣ These universities have submitted their OA policies to ROARMAP:
http://roarmap.eprints.org/view/policymaker_type/research=5Forg.html



Open Access Is a Movement

A Movement in Higher Education

CUNY University Faculty Senate Statement & Resolution

WHEREAS there is a need for open-access models to assist libraries and institutions in dealing with the budgetary challenges presented by the ever-increasing costs charged by journal publishers; and

WHEREAS open-access institutional repositories do not replace traditional publishing but rather serve as an additional venue for maximizing access to the fruits of faculty research; and

WHEREAS numerous universities have created open-access institutional repositories and associated policies, and many more universities are currently working toward such repositories and policies; and

WHEREAS the City University of New York is committed to educating the public and making knowledge accessible and affordable; therefore let it be

RESOLVED that the University Faculty Senate supports the development of an open-access institutional repository for the City University of New York, and

BE IT FURTHER RESOLVED that in accordance with best practices, guidelines for depositing materials into the CUNY repository should be created by faculty appointed by the UFS working with the Office of Library Services and should include recommendations to faculty to deposit finished journal articles, preprints, chapters, etc. The guidelines should encourage but not require faculty to contribute to the repository, and ensure that depositing a work into the repository will not affect the author's copyright.



ACRL Policy Statement on Open Access to Scholarship by Academic Librarians

Scholarship by academic librarians advances the fields of library and information science, influences practices of aligned professions, and informs effective advocacy. In support of broad and timely dissemination of library and information science scholarship, [the Association of College and Research Libraries \(ACRL\) encourages academic librarians to publish in open access journals. When academic librarians choose to publish in subscription-based journals, ACRL recommends a standard practice of depositing the final accepted manuscript in a repository to make that version openly accessible.](#) The author should be responsible for determining at what date the deposited manuscript becomes openly accessible, taking into account applicable institutional or funder policies, as well as other relevant considerations. [ACRL further encourages academic librarians to make other forms of scholarship, such as monographs, presentations, grey literature, and data, openly accessible.](#)

It is also imperative that publishers of library and information science scholarship explore and implement publishing models to make their content openly accessible as soon as possible. Librarians who are editors, reviewers, and authors should assist with this effort by engaging with their publishers about these models.

[Approved by the ACRL Board of Directors during the ALA Annual Conference, June 2016.](#)



OA Policy

- ▣ The universities have mandates requiring their faculty to publish open access.
- ▣ There are two interpretations of this.
 - The faculty have either to publish in an *OA journal*, or
 - they can publish in a subscription only journal as long as the journal allows the published or the peer-reviewed final manuscript submission to be reposted in an open access repository.
- ▣ Qualified publishers include Elsevier, Wiley, Taylor & Frances, Springer and others.
- ▣ Most journals allow the published, or the pre-published, peer-reviewed manuscript to be posted in an OA database 12 months after publication. It is our goal that Marshall Digital Scholar make these articles freely available whenever this is permitted.
- ▣ The library will determine if OA publication is allowed for every peer-reviewed manuscript submitted to MDS. We will post the published version of an article if this is permitted, followed by the peer-reviewed version if this is all that is permitted. Embracing OA publication will assure that all final manuscript submissions made by our faculty to publishers will also be made to MDS, which will ensure that these manuscripts are available for eventual inclusion in MDS whenever this is allowed by the publishers.



MU Library faculty Proposal

- ▣ The faculty of Marshall University will support a Policy of Open Access Publishing.
- ▣ An open access policy will encourage faculty members to submit their final peer-reviewed manuscript to a publisher for publication, as well as an identical copy of the peer-reviewed manuscript to the university's institutional repository (IR) for "tentative" inclusion in MDS.
- ▣ Certain journals do not permit any version of an article to be posted in an OA database. The Marshall University Library faculty will continue to provide copyright clearance services to ensure that only permitted articles are posted after the specified embargo period has passed. The library will take care of all other legal and procedural matters.
- ▣ This proposal will not extend to previously published articles, but only to future publications. Faculty will continue to be encouraged, but not required, to submit conference papers, presentation slides, and posters. Since faculty members often perform research in collaboration with other institutions, only the principal co-author will be required to participate in the upload to MDS.



Anticipated Outcome for MDS

- Increase the faculty participation rate from the current 25% to 100%, ideally.
- Ensure that all publisher approved manuscripts are available for us to load into MDS. Given past experience, this will improve the success rate of posting articles from the current 50% to 75%.
- Definitely enhance MDS's effectiveness in support of the mission of Marshall University and its faculty by offering innovative approaches to disseminate research, and enhance Marshall's visibility, status, and public value.



Benefits of OA

- ❑ Open access allows the research of our faculty to have a ***greater impact*** by being more widely circulated and read.
- ❑ An OA policy ensures ***greater faculty participation***.
- ❑ An OA policy, rather than an OA mandate, ensures ***greater faculty freedom*** to publish in the journals of their choice.
- ❑ An OA policy allows for the ***simplification of procedures*** to move peer-reviewed manuscripts into the OA IR by doing the following:
 - The policy eliminates the need to obtain permissions and published article titles (c.v.) from the faculty.
 - The policy eliminates the time spent to “track down” peer-reviewed manuscripts (final submissions).
- ❑ The policy will result in a significantly higher percentage of peer-reviewed articles being posted not only because of 100% faculty participation, but also because some publishers allow OA only if it is required by an author’s employer. The OA policy establishes this requirement.
- ❑ The end result of all of this will be the establishment of a more efficient process to move subscription based publications onto an OA platform. This increases the amount of “bang for the buck” that we get out of our subscription to Creative Commons. The research emanating from Marshall University will be more widely distributed and more widely known.



Anticipated Outcomes for Faculty and Marshall University

- ▣ Provide faculty research output in a central, searchable database with open access to the world
- ▣ Increase the citation rates of MU's scholarship (*Increasing Impact*)

MDS is regularly crawled and indexed by Google, Google Scholar, Bing and other popular search engines, which makes our scholarship easy to find. As an open access repository, the work deposited in MDS @ Marshall University is accessible to readers worldwide. By the end of March, 2017, we had received visitors from 218 countries and territories.

- Other search engines to maximize readership and impact of faculty scholarship.
- Indexed content includes:
 - ✓ Text-based full-text objects such as PDFs, Word documents, and PowerPoint files & Text-based supplemental files
 - ✓ All published metadata such as titles, subjects, author, publisher, etc.
- ▣ Maximize the visibility and accessibility of faculty research
- ▣ Highlight individual achievement and support progress toward promotion, tenure, and recognition in their field
- ▣ Ensure long-term preservation of faculty digital research materials



Current Proposal Status

- Agreed to by the Library Faculty Organization
- Presented to the University Faculty Senate Library Committee and is expected to be approved shortly
- To be presented to the Faculty Senate for discussion and approval
- To be submitted to the Administration and Board of Governors for approval



Questions?





References

1. Xia, J., Gilchrist, S.B., Smith, N.X., Kingery, J.A., Radecki, J.R., Wilhelm, M.L., Harrison, K.C., Ashby, M.L., Mahn, A.J. (2012). A Review of Open Access Self-Archiving Mandate Policies. *Libraries and the Academy* 12(1), 85-102. Johns Hopkins University Press.
2. Proposal for the Faculty of Marshall University to Adopt an Open Access Publication Policy, Feb. 2017
3. Wacha, Megan, "Public Scholarship for the Public Good: An Introduction to Open Access" (2015). CUNY Academic Works. http://academicworks.cuny.edu/oaa_pubs/2
4. The Registry of Open Access Repository Mandates and Policies (ROARMAP): <http://roarmap.eprints.org/>
It is a searchable international registry charting the growth of open access mandates and policies adopted by universities, research institutions and research funders that require or request their researchers to provide open access to their peer-reviewed research article output by depositing it in an open access repository.